

Notice of the Authority relating to filing of annual returns and other documents for the fiscal year ending December 31, 2016 – Damage (“P&C”) insurers licensed in Quebec

Under *An Act respecting insurance*, CQLR, c. A-32, (the “Act”), every insurer is required to file with the *Autorité des marchés financiers* (the “AMF” or the “Authority”), in such form as the AMF may determine and within the prescribed time period, the documents and information required under the Act or requested by the AMF pursuant to specific provisions of the Act (the “required or requested documents and information”).

All required or requested documents and information must be filed electronically via the AMF website using the File Transfer Service (“FTS”).

See the Appendices attached to this Notice concerning specific AMF requirements for the filing of documents for the fiscal year ending December 31, 2016.

A complete set of « paper » copies of the signed documents must be kept at the insurer’s premises so that they are available for examination by the AMF, if necessary.

Administrative monetary sanctions

We remind you that each insurer is responsible for ensuring that the AMF receives, **within the prescribed time periods**, all required or requested documents and information in all forms as required.

Under section 405.1 of the Act, the AMF may impose an administrative sanction where any of the documents referred to in the Appendix are filed late or are not filed.

The *Notice of the Autorité des marchés financiers related to administrative monetary sanctions imposed for late filing of information or documents (sections 405.1 and following of the Act)* (the “sanctions framework”) is posted on the AMF website at:

<http://www.lautorite.qc.ca/en/right-practice-pro.html>.

Electronic submission of financial returns and other documents

The *File Transfer Service (FTS) User Guide* explains the procedure for submitting data via the AMF website. To consult this guide, access the FTS and click on Help.

The *Guide – Specific File Transfer Service (FTS) Requirements (the “guide of specific requirements”)* contains instructions from the *Direction principale de la surveillance des assureurs et du contrôle du droit d’exercice* (Direction, Supervision of insurers and Control of Right to Practise), such as the appropriate file naming convention.

Please note that *the guide of specific requirements* does not list the required or requested documents and information and the dates by which they are to be filed.

The *guide of specific requirements* is available on the AMF website at:

<http://www.lautorite.qc.ca/en/financial-returns-pro.html>

Further information

Further information is available by sending an e-mail to info-divulgations@lautorite.qc.ca.

December 15, 2016

**DOCUMENTS TO BE FILED BY P&C INSURERS
LICENSED IN QUEBEC
FOR FISCAL YEAR ENDING DECEMBER 31, 2016**

APPENDIX 1

| QUEBEC | Unstructured Return Code | File Format | Due date |
|--|-----------------------------|----------------------------|-----------------------------------|
| 1. P&C Annual Return. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/financial-returns-pro.html | - | Excel & ASCII (.num) | February 28, 2017 |
| 2. P&C Annual Return, duly signed . The pdf file must be complete, in printable format, and conform with the "paper" version kept on file at the insurer's premises. It <u>must include</u>, among others, the following documents: <ul style="list-style-type: none"> - Annual corporate information (pages 10.10 to 10.17) - Corporate organization chart (page 10.30) - Statement of cash flows (page 20.52) - Notes to the financial statements (page 20.60) - Duly signed independent auditor's report to AMF covering pages 20.10 through 20.60 (page 20.70) - Duly signed appointed actuary's Certificate of Opinion (page 20.80) - Duly signed Certification by President/Chief Executive Officer (page 99.10) - Duly signed Affidavit verifying Annual Supplement Return (page 99.20) | - | pdf | February 28, 2017 |
| 3. Independent auditor's report on the Minimum Capital Test (MCT), duly signed * if available before February 28, 2017 you must include the report in the pdf version of the P&C Annual Return form. | - | pdf | March 31, 2017 |
| 4. Attestation of Compliance of Versions (P&C), duly signed . http://www.lautorite.qc.ca/en/financial-returns-pro.html | 110 | pdf | February 28, 2017 |
| 5. Classes of insurance, duly signed . (Regulation under the Act respecting insurance) | 120 | pdf | February 28, 2017 |
| 6. Copy of major letters of credit and confirmations from trustees of deposits held for the account of the insurer reported on page 70.60 of the annual return. These confirmations must include the following or similar wording: "We confirm that we are holding deposits on behalf of (name of insurer) in the amount of \$_____ for the account of (name of reinsurer) as at December 31, 2016." (if applicable) | 180 | pdf | February 28, 2017 |
| 7. Business Plan for the year 2017. The Business Plan should include a forecast of the Balance Sheet, the Income Statement and the Minimum Capital Test. (MCT) | 190 | pdf | February 28, 2017 (New) |
| 8. Audited financial statements presented to shareholders or members, duly signed . ("Official" version) | 200 | Searchable pdf file | February 28, 2017 |
| 9. Annual report prepared for shareholders or members as soon as possible. (if applicable) | 200 | pdf | |
| 10. Non-consolidated financial statement of the insurer, and subsidiaries, affiliates and joint ventures in which the insurer has an ownership interest. (if applicable) | 300 | pdf | February 28, 2017 |
| 11. Appointed actuary's report on policy liabilities, including certificate, duly signed . | 400 | Searchable pdf file | February 28, 2017 |
| 12. Data from the Unpaid Claims and Loss Ratio Exhibits. http://www.lautorite.qc.ca/en/policy-liabilities-report-pro.html | - | ASCII (.nu1/.tx1) | February 28, 2017 |
| 13. Peer review - Appointed actuary's report. | 440 | pdf | Note 1 |
| 14. Dynamic Capital Adequacy Testing - DCAT, duly signed . (The updated instructions are available on the AMF website.) | 500 | Searchable pdf file | May 31, 2017 |
| 15. Excel File containing certain DCAT data. (The Excel file is available on the AMF website.) http://www.lautorite.qc.ca/en/report-financial-condition-pro.html | 510 | Excel | May 31, 2017 |
| 16. Peer review - DCAT. (if applicable) | 520 | pdf | Note 1 |
| 17. Reinsurance coverage notes relating to all reinsurance treaties or arrangements effective in 2016. (if applicable) | 590 | pdf | February 28, 2017 |
| 18. Earthquake Exposure Data Form. (This form must be completed regardless of whether the company has earthquake exposure or not.) http://www.lautorite.qc.ca/en/earthquake-pro.html | 740 | Excel | April 15, 2017 |
| 19. Ethics committee report. | 760 | pdf | February 28, 2017 |

Note 1 : 30 days after transmission to the Audit Committee.

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| 9. Annual report prepared for shareholders or members as soon as possible. (if applicable) | 200 | pdf | |
| 10. Financial statements of the insurer, and subsidiaries, affiliates and joint ventures in which the insurer has an ownership interest. (if applicable) | 300 | pdf | February 28, 2017 |
| 11. Appointed actuary's report on policy liabilities, including certificate, duly signed . | 400 | Searchable pdf file | February 28, 2017 |
| 12. Data from the Unpaid Claims and Loss Ratio Exhibits. http://www.lautorite.qc.ca/en/policy-liabilities-report-pro.html | - | ASCII (.nu1/.tx1) | February 28, 2017 |
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| 14. Dynamic Capital Adequacy Testing - DCAT, duly signed . | 500 | Searchable pdf file | December 31, 2017 |
| 15. Excel File containing certain DCAT data. (The Excel file that must be used is available on the AMF website.) http://www.lautorite.qc.ca/en/report-financial-condition-pro.html | 510 | Excel | December 31, 2017 |
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| <p>1. P&C Annual Return, duly signed. The Excel file <u>must contain</u> the duly signed certification by the chief agent in Canada (page 99.11) and the notes to the financial statements, <u>draft version</u>. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/financial-returns-pro.html</p> | - | Excel & ASCII (.num) | February 28, 2017 |
| <p>2. P&C Annual Return, duly signed. The pdf file must be complete, in printable format, and conform with the "paper" version kept on file at the insurer's premises. It <u>must include</u>, among others, the following documents:</p> <ul style="list-style-type: none"> - Annual corporate information (page 10.10 to 10.16) - Corporate organization chart (page 10.30) - Statement of cash flows (page 20.52) - Notes to the financial statements (page 20.60) - Duly signed independents auditor's report to primary regulator covering pages 20.10 through 20.60 (page 20.70) - Duly signed independent auditor's report on BAAT - Duly signed appointed actuary's Certificate of Opinion (page 20.80) - Duly signed Certification by the chief agent in Canada (page 99.11) - Duly signed Certification by the president/chief executive officer (page 99.15) | - | pdf | May 31, 2017 |
| <p>3. Attestation of Compliance of Versions (P&C), duly signed. (The Attestation must be dated and signed further to the issue of the auditor's report.) http://www.lautorite.qc.ca/en/financial-returns-pro.html</p> | 110 | pdf | May 31, 2017 |
| <p>4. Classes of insurance, duly signed. (Regulation under the Act respecting insurance)</p> | 120 | pdf | May 31, 2017 |
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| <p>7. Audited Statutory Financial Statements of <u>the insurer incorporated abroad and operating via a branch in Canada</u>, duly signed. ("Official" version) (Worldwide)</p> | 200 | pdf | May 31, 2017 |
| <p>8. Annual report prepared for shareholders or members as soon as possible. (if applicable)</p> | 200 | pdf | |
| <p>9. Appointed actuary's report on policy liabilities, including certificate, duly signed.</p> | 400 | Searchable pdf file | February 28, 2017 |
| <p>10. Data from the Unpaid Claims and Loss Ratio Exhibits. http://www.lautorite.qc.ca/en/policy-liabilities-report-pro.html</p> | - | ASCII (.nu1/.tx1) | February 28, 2017 |
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Note 1 : 30 days after transmission to the Audit Committee or the Chief Representative in Canada.

**DOCUMENTS TO BE FILED BY P&C REINSURERS
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| 1. P&C Annual Return. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/financial-returns-pro.html | - | Excel & ASCII (.num) | March 14, 2017 |
| 2. P&C Annual Return, duly signed . The pdf file must be complete, in printable format, and conform with the "paper" version kept on file at the insurer's premises. It <u>must include</u>, among others, the following documents: <ul style="list-style-type: none"> - Annual corporate information (pages 10.10 to 10.17) - Corporate organization chart (page 10.30) - Statement of cash flows (page 20.52) - Notes to the financial statements (page 20.60) - Duly signed independent auditor's report to AMF covering pages 20.10 through 20.60 (page 20.70) - Duly signed appointed actuary's Certificate of Opinion (page 20.80) - Duly signed Certification by President/Chief Executive Officer (page 99.10) - Duly signed Affidavit verifying Annual Supplement Return (page 99.20) | - | pdf | March 14, 2017 |
| 3. Independent auditor's report on the Minimum Capital Test (MCT), duly signed . * if available before March 14, 2017 you must include the report in the pdf version of the P&C Annual Return form. | - | pdf | March 31, 2017 |
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